

06-26-01

PATENT # 3  
Sector #EXPRESS MAIL NO. EL700670906US  
Attorney Docket No. UND004  
Client/Matter No. 83208.0007  
Confirmation No. 5504

## IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Application of:

Gregory Hagan Moulton and James John Zarbock

Serial No. 09/777,139

Filed: February 5, 2001

For: SYSTEM AND METHOD FOR  
REDUNDANT ARRAY NETWORK STORAGE

Group Art Unit: 2131

Examiner:

CERTIFICATE OF MAILING BY EXPRESS MAIL

## BOX MISSING PARTS

Assistant Commissioner for Patents  
Washington, D.C. 20231

Sir:

The undersigned hereby certifies that the following documents:

1. Response to Notice to File Missing Parts;
2. Copy of Notice to File Missing Parts of Application Filing Date Granted;
3. Executed Declaration;
4. Fee Transmittal and check in the amount of \$644 (filing fee and surcharge);
5. Recordation Form Cover Sheet PTO 1595 with Executed Assignment and Recording Fee of \$40.00;
6. Certificate of Mailing By Express Mail;
7. Return postcard;

relating to the above application, were deposited as "Express Mail", Mailing Label No. EL700670906US, with the United States Postal Service, addressed to BOX MISSING PARTS, The Assistant Commissioner for Patents, Washington, D.C., 20231, on

25 June 2001.

25 June 2001

Date

25 June 2001

Date

Mailer

William J. Kubida, Reg. No. 29,664  
HOGAN & HARTSON LLP  
One Tabor Center  
1200 17th Street, Suite 1500  
Denver, Colorado 80202  
(719) 448-5909 Tel  
(303) 899-7333 Fax



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Group Art Unit: 2131

Examiner:

RESPONSE TO NOTICE TO FILE MISSING PARTS

BOX MISSING PARTS

Assistant Commissioner for Patents  
Washington, D.C. 20231

Sir:

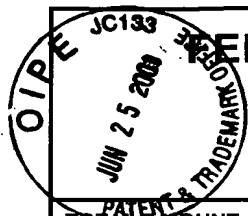
In response to the Notice to File Missing Parts of Application, Filing Date Granted, mailed April 25, 2001, submitted herewith is a signed Declaration for Patent Application, a check in the amount of \$644 to cover \$579 for the filing fee and \$65 for a small entity status, and a copy of the PTO Notice form. Any fee deficiency associated with this communication may be charged to Deposit Account No. 50-1123.

Applicant claims small entity status as set forth in 37 CFR 1.27.

Also enclosed is a Recordation Form Cover Sheet PTO 1595 with executed Assignment and recording fee of \$40.00. Please forward the Assignment to the Recording Branch for recording.

Dated: 25 June, 2001

William J. Kubida, Registration No. 29,664  
HOGAN & HARTSON LLP  
One Tabor Center  
1200 17th Street, Suite 1500  
Denver, Colorado 80202  
(719) 448-5909 Tel  
(303) 899-7333 Fax



# FREE TRANSMITTAL for FY 2001

TOTAL AMOUNT OF PAYMENT (\$) (\$) 684.00

## Complete if Known

Application Number	09/777,139
Filing Date	February 5, 2001
First Named Inventor	Gregory Hagan Moulton et al.
Examiner Name	
Group / Art Unit	2131
Attorney Docket No.	UND004

### METHOD OF PAYMENT (check one)

1. ☐ The Commissioner is hereby authorized to charge indicated fees and credit any over payments to:

Deposit  
Account  
Number

50-1123

Deposit  
Account  
Name

Hogan & Hartson L.L.P.

- ☒ Charge Any Additional Fee Required Under 37 CFR §§ 1.16 and 1.17  
☒ Applicant claims small entity status.  
See 37 CFR 1.27

2. ☒ Payment Enclosed:

- ☒ Check ☐ Money Order ☐ Other

### FEE CALCULATION

#### 1. BASIC FILING FEE

Large Entity Fee (\$)	Small Entity Fee (\$)	Fee Description	Fee Paid
710	355	Utility Filing Fee	355.00
320	160	Design filing fee	
490	245	Plant filing fee	
710	355	Reissue filing fee	
150	75	Provisional filing fee	

SUBTOTAL (1) (\$) 355.00

#### 2. EXTRA CLAIM FEES

Total Claims	Extra Claims	Fee from below	Fee Paid	
36	-20**= 16	X 9	= 144	
Independent Claims	5	-3**= 2	X 40	= 80
Multiple Dependent			= 0	

\*or number previously paid, if greater; For Reissues, see below

Large Entity Fee Code	Small Entity Fee Code	Fee Description
103 18	203 9	Claims in excess of 20
102 80	202 40	Independent claims in excess of 3
104 270	204 135	Multiple dependent claim, if not paid
109 80	209 40	**Reissue independent claims over original patent
110 18	210 9	**Reissue claims in excess of 20 and over original patent

SUBTOTAL (2) (\$) 224.00

### FEE CALCULATION (continued)

#### 3. ADDITIONAL FEES

Large Entity Fee (\$)	Small Entity Fee (\$)	Fee Description	Fee Paid
130	65	Surcharge - late filing fee or oath	65.00
50	25	Surcharge - late provisional filing fee or cover sheet	
130	130	Non-English specification	
2,520	2,520	For filing a request for ex parte reexamination	
920*	920*	Requesting publication of SIR prior to Examiner action	
1,840*	1,840*	Requesting publication of SIR after Examiner action	
110	55	Extension for reply within first month	
390	195	Extension for reply within second month	
890	445	Extension for reply within third month	
1,390	695	Extension for reply within fourth month	
1,890	945	Extension for reply within fifth month	
310	155	Notice of Appeal	
310	155	Filing a brief in support of an appeal	
270	135	Request for oral hearing	
1,510	1,510	Petition to institute a public use proceeding	
110	55	Petition to revive - unavoidable	
1,240	620	Petition to revive - unintentional	
1,240	620	Utility issue fee (or reissue)	
440	220	Design issue fee	
600	300	Plant issue fee	
130	130	Petitions to the Commissioner	
50	50	Processing fee under 37 CFR 1.17(q)	
180	180	Submission of Information Disclosure Stmt	
40	40	Recording each patent assignment per property (times number of properties)	40.00
710	355	Filing a submission after final rejection (37 CFR § 1.129(a))	
710	355	For each additional invention to be examined (37 CFR § 1.129(b))	
710	355	Request for Continued Examination	
900	900	Request for expedited examination of a design application	

Other fee (specify)

\*Reduced by Basic Filing Fee Paid

SUBTOTAL (3) (\$) 105.00

### SUBMITTED BY Complete (if applicable)

Name (Print/Type) William J. Kubida

Registration No.  
(Attorney/Agent)

29,664

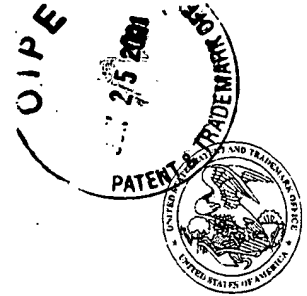
Telephone

(719) 448-5909

Signature

Date

25 June 2001



## UNITED STATES PATENT AND TRADEMARK OFFICE

COMMISSIONER FOR PATENTS  
UNITED STATES PATENT AND TRADEMARK OFFICE  
WASHINGTON, D.C. 20231  
www.uspto.gov

APPLICATION NUMBER	FILING/RECEIPT DATE	FIRST NAMED APPLICANT	ATTORNEY DOCKET NUMBER
09/777,139	02/05/2001	Gregory Hagan Moulton	UND004

CONFIRMATION NO. 5504

## FORMALITIES LETTER



\*OC000000006007390\*

William J. Kubida, Esq.  
Hogan & Hartson, LLP  
1200 17th Street Suite 1500  
Denver, CO 80202

Date Mailed: 04/25/2001

## NOTICE TO FILE MISSING PARTS OF NONPROVISIONAL APPLICATION

FILED UNDER 37 CFR 1.53(b)

*Filing Date Granted*

An application number and filing date have been accorded to this application. The item(s) indicated below, however, are missing. Applicant is given **TWO MONTHS** from the date of this Notice within which to file all required items and pay any fees required below to avoid abandonment. Extensions of time may be obtained by filing a petition accompanied by the extension fee under the provisions of 37 CFR 1.136(a).

- The statutory basic filing fee is missing.  
*Applicant must submit \$ 710 to complete the basic filing fee and/or file a small entity statement claiming such status (37 CFR 1.27).*
- Total additional claim fee(s) for this application is \$448.
  - \$288 for 16 total claims over 20.
  - \$160 for 2 independent claims over 3.
- The oath or declaration is unsigned.
- To avoid abandonment, a late filing fee or oath or declaration surcharge as set forth in 37 CFR 1.16(e) of \$130 for a non-small entity, must be submitted with the missing items identified in this letter.
- **The balance due by applicant is \$ 1288.**

*A copy of this notice **MUST** be returned with the reply.*

Customer Service Center

Initial Patent Examination Division (703) 308-1202

PART 1 - ATTORNEY/APPLICANT COPY

07/02/2001 MBERHE 00000004 09777139

01 FC:201	355.00 OP
02 FC:205	65.00 OP
03 FC:203	144.00 OP
04 FC:202	80.00 OP